



CERTIFICATE OF MAILING

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Name of Person Mailing: BARBARA NOLAN

Signature: Barbara Nolan Date: December 15, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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|--|----------------------------|--|
| Supplemental Information Disclosure Statement | Inventor(s) | Hans Maag, et al |
| | Application Number | 10/702,302 |
| | Filing Date | November 7, 2003 |
| | Group Art Unit | 1614 |
| | Examiner | Habte Kahsay |
| | Attorney Docket No. | R0151B-REG |
| | Title | SUBSTITUTED BENZOXAZINONES AND USES THEREOF |

Sir:

Transmittal Letter for Supplemental Information Disclosure Statement

Applicants wish to bring to the attention of the Examiner a Guatemalan Office Action dated September 1, 2004 in which the attached references have been cited, for the Guatemalan application that is a counterpart of the subject application. The attached Information Disclosure Statement is filed in compliance with 37 CFR §1.56, and the documents cited therein may be material to the patentability of the subject patent application.

Attached with this Transmittal Letter are:

- (a) A copy of the Guatemalan Office Action, dated September 1, 2004;
- (b) Form 1449, "List of References Cited," with copies of references;
- (c) Return postcard.

The Information Disclosure Statement is being submitted before the mailing date of the first Office Action. **Therefore, no fee is due under 37 CFR 1.97(b).**

Additionally, the undersigned hereby certifies under 37 C.F.R. 1.97(e)(1) that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office on a counterpart foreign application not more than three (3) months prior to the filing of the Information Disclosure Statement. **Therefore, no fee is due.**

[X] Applicants believe that no fees are due. However, should this not be the case, the Commissioner is hereby authorized to charge any additional fees that may be required to Deposit Account No. 18-1700.

The Examiner is respectfully requested to consider these documents and to make them of record in the subject application.

Respectfully submitted,



Robert C. Hall
Reg. No. 39,209
Attorney for Applicants

Roche Palo Alto
Patent Law Dept. M/S A2-250
3431 Hillview Avenue
Palo Alto, CA 94304
Direct Phone (650) 354-7540

Date: December 15, 2004



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

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of

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Complete if Known

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|----------------------|------------------|
| Application Number | 10/702,302 |
| Filing Date | November 7, 2003 |
| First Named Inventor | Hans Maag |
| Art Unit | 1614 |
| Examiner Name | Habte Kahsay |

Attorney Docket Number

R0151B-REG

U.S. PATENT DOCUMENTS

| Examiner Initials * | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|---------------------|-----------------------|--|--------------------------------|--|---|
| | | Number - Kind Code ² (if known) | | | |
| | | US- | | | |
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FOREIGN PATENT DOCUMENTS

| Examiner Initials * | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|---------------------|-----------------------|---|--------------------------------|---|--|----------------|
| | | Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | | | | |
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OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

| | | | |
|---------------------|-----------------------|---|----------------|
| Examiner Initials * | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| | C1 | BELLIOTTI, T.R., et al, "A Series of 6- and 7-Piperazinyl- and -Piperidinylmethylbenzoxazinones with Dopamine D4 Antagonist Activity: Discovery of a Potential Atypical Antipsychotic Agent", <i>J. Med. Chem.</i> , 1999, 42(25), pgs. 5181-5187 | |
| | C2 | GUTSCHOW, M., et al, "Studies on 2-benzylxy-4H-3,1-benzoxazine-4-ones as serine protease inhibitors", <i>Pharmaceutica Acta Helveticae</i> , 1999, 73(2), pgs. 95-103 | |
| | C3 | KRANTZ, A., et al, "Design and Synthesis of 4H-3,1-Benzoxazine-4-ones as Potent Alternate Substrate Inhibitors of Human Leukocyte Elastase", <i>J. Med. Chem.</i> , 1990, 33(2), pgs. 464-479 | |
| | C4 | SPENCER, R.W., et al., "Inhibition of Serine Proteases by Benzoxazinones: Effects of Electron Withdrawal and 5-Substitution", <i>Biochem Biophys Res. Commun.</i> , 1986, 140(3), pgs. 928-933 | |
| | C5 | TAVERNE, T., et al., "Novel Benzothiazolin-2-one and Benzoxazin-3-one-Arylpiperazine Derivatives with Mixed 5HT _{1A} /D ₂ Affinity as Potential Atypical Antipsychotics", <i>J. Med Chem.</i> , 1998, 41(12), pgs. 2010-2018 | |

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|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Doc. #127288v1



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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

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|--|----|------------------------|------------------|
| | | Application Number | 10/702,302 |
| | | Filing Date | November 7, 2003 |
| | | First Named Inventor | Hans Maag |
| | | Art Unit | 1614 |
| | | Examiner Name | Habte Kahsay |
| Total Number of Pages in This Submission | 55 | Attorney Docket Number | R0151B-REG |

ENCLOSURES (check all that apply)

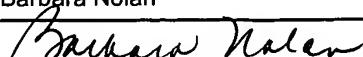
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| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <ul style="list-style-type: none"> Transmittal Letter for IDS; Guatemalan Office Action; Five (5) Cited References; Return Postcard | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;">Remarks</td> <td style="width: 90%;"></td> </tr> </table> | | | Remarks | |
| Remarks | | | | |
| Applicants believe that no fees are due. However should this not be the case, the Commissioner is hereby authorized to charge any additional fees that may be required to Deposit Account No. 18-1700. | | | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual name | ROCHE PALO ALTO LLC Patent Department, M/S A2-250 3431 Hillview Avenue, Palo Alto, CA 94304 |
| Signature | Robert C. Hall, Reg. 39,209  |
| Date | December 15, 2004 |

CERTIFICATE OF MAILING OR FACSIMILE

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

| | | | |
|-----------------------|---|------|-------------------|
| Typed or printed name | Barbara Nolan | | |
| Signature |  | Date | December 15, 2004 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

docs # 127310v1

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